

Matrix of Funding and Technical Assistance Programs

Compliments of the

Environmental Infrastructure Working Group

an activity of the

Indiana Rural Development Council



Participating Partners and Programs:

Indiana Office of Rural Affairs – Community Focus Fund and Planning Grant
State Revolving Fund Loan Programs – Drinking Water, Wastewater and Nonpoint Source
US Economic Development Administration – Public Works & Economic Adjustment
US Department of Agriculture, Rural Development – Water and Waste Disposal Systems
US Army Corps of Engineers – Planning and Infrastructure Programs
Indiana Rural Community Assistance Program – Technical Assistance
Alliance of Indiana Rural Water – Technical Assistance
Indiana Rural Water Association – Technical Assistance

November, 2005

<i>ELIGIBILITY</i>	Community Focus Fund and Planning Grant	US EDA – Public Works & Economic Adjustment	USDA Rural Development, Water & Wastewater	State Revolving Fund Loan Programs	Corps of Engineers – Planning & Assistance
Applicants	Non-entitlement cities, incorporated towns and counties	Counties, cities, towns, regional sewer districts, and, under certain conditions, townships and economic development corporations	Public and not-for-profit organizations serving cities and towns with populations of less than 10,000 or rural areas when other financing sources are not available at reasonable rates	Political subdivisions including cities, towns, counties & regional sewer, conservancy and sanitary districts. However, the Drinking Water SRF expanded to include privately-owned and non- profit public water systems.	State, City, Town and County Government
Targeted Beneficiaries	51% of beneficiaries must be low-to-moderate income persons within project area(s)	Economically distressed communities	Primarily rural cities and towns with populations of less than 10,000 or unincorporated rural areas	No restrictions	No Restrictions
Projects	Eligible applicants must demonstrate need for the project	Economic Development— leverage private sector investment and job creation/retention	Eligible communities must demonstrate need for the project	Must address a water quality issue of public health concern	Eligible communities must demonstrate need for project
Eligible Costs (1) <ul style="list-style-type: none"> • <i>Administration (2)</i> • Construction • <i>Easements/land rights (3)</i> • Engineering • <i>Environmental Review</i> • Interest • <i>Land</i> • Planning • <i>Pre-project costs</i> 	<i>Yes</i> <i>Yes</i> <i>Yes (4)</i> <i>Yes</i> <i>Yes</i> <i>No</i> <i>Yes (4)</i> <i>Yes (6)</i> <i>Not allowable cost</i>	<i>Yes (inquire first)</i> <i>Yes</i> <i>Yes (4)</i> <i>Yes</i> <i>N/A</i> <i>Yes</i> <i>Yes</i> <i>N/A</i> <i>Not reimbursable, unless approved by agency in advance</i>	<i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes (4)</i> <i>Yes</i>	<i>Yes</i> <i>Yes</i> <i>Yes-DW (3)</i> <i>Yes</i> <i>Yes</i> <i>Yes</i> <i>Yes-DW (5)</i> <i>Yes</i> <i>Yes</i>	<div>Sect. 22</div> <div>Sect. 219</div> <i>Yes</i> <i>No</i> <i>No</i> <i>No</i> <i>Yes</i> <i>No</i> <i>No</i> <i>Yes</i> <i>No</i> <i>Yes</i> <i>No</i>

Notes: (1) For all programs, ineligible costs will include maintenance costs

(2) Administration includes financial, legal and rate consultant fees associated with the project

(3) Legal fees related to acquiring easements or land are eligible for reimbursement

(4) Acquisition of land must be directly related and integral to the project

(5) Except where land is an integral part of the treatment process

(6) Separate Community Focus Fund Planning Grant program available for infrastructure studies and preliminary engineering.

<i>PROGRAM REQUIREMENTS</i>	Community Focus Fund and Planning Grant	US EDA – Public Works & Economic Adjustment	USDA Rural Development, Water & Wastewater	State Revolving Fund Loan Programs	Corps of Engineers – Planning & Assistance
Davis-Bacon Wage Rates	Required	Required	Only if other project funding sources require it	Required	Required
Environmental Impact Review (1)	Required	Required	Required; use NEPA standards as basis	Required; use NEDA standards as basis	<u>Sect. 22</u> No <u>Sect. 219</u> Required
Pre-Design Planning	Limited review; preliminary engineering must be completed by application; construction must begin within 8 months of award	Review within context of Comprehensive Economic Development Strategy (CEDS); project must achieve State’s standards	USDA Rural Development state engineer reviews; must meet feasibility and reasonable cost standards	SRF Project Engineers review Preliminary Engineering Reports for environmentally sound/cost effective approach to proposed projects	Yes
Income Survey	Required if US HUD data unable to prove 51% of beneficiaries are low/moderate income	Not required	Not required	Not required	No
Minority, Women and/or Disadvantaged Business Contract Reporting	Required	Required	Required	Required	<u>Sect. 22</u> No <u>Sect. 219</u> Yes
Plans and Specifications Review	Review completed by IDEM	USDOC/EDA/CRO (Engineer in Chicago)	USDA Rural Development state engineer coordinates with IDEM	Review completed by IDEM	Yes
Procurement Rules	Follow federal policies	Follow federal policies	Follow federal policies	Required Follow federal and state policies	Follow federal policies
Relocation Assistance	If land acquisition results in displacement of residents, community must provide assistance	If land acquisition results in displacement of residents, community must provide assistance	If land acquisition results in displacement of residents, community must provide assistance	If land acquisition results in displacement of residents, community must provide assistance	<u>Sect. 22</u> No <u>Sect. 219</u> Yes
User Rates and Charges Review	Focus on limiting increase in rates; if rates are low enough, grant funds will not be provided	“Fairness” review based on comparison of rates and charges in similar communities	“Fairness” review based on comparison of rates and charges in similar communities	System must distribute charges proportionately among user classes along with a complete financial due diligence review	No

Notes: (1) Environmental review process different for all programs; coordination efforts are under discussion

<i>APPLICATION & AWARDS</i>	Community Focus Fund and Planning Grant	US EDA – Public Works & Economic Adjustment	USDA Rural Development, Water & Wastewater	State Revolving Fund Loan Programs	Corps of Engineers – Planning & Assistance
Funding Cycles	Two funding rounds each year (1)	Continuous (2)	Continuous (2)	Continuous (2)	<u>Sect. 22</u> <u>Sect. 219</u> Yearly Every other year
Pre-Application	Proposals required each funding round, followed by a site visit; if eligible, applicant invited to submit full application	Pre-application or proposal reviewed; may be followed by meeting; community invited to submit full application	Not required	N/A	Not Required
Application	Two rounds per year. Contact the IDOC Regional Office for application information.	Submitted within 30 days of invitation to submit full application	Application may be submitted at any time; funding is on-going	Annual application process formulates Intended Use Plan/Project Priority List; however, projects may also be added quarterly	Letter of Intent may be submitted at any time.
Award Process	Competitive review of eligible projects; readiness to proceed is a critical factor in awarding funds	Eligible projects’ readiness to proceed	Eligible projects are priority ranked; readiness to proceed is a critical factor in awarding funds	If funds are limited, awards will be based on rank. Readiness to proceed will also be taken into consideration	<u>Sect. 22</u> -- N/A <u>Sect. 219</u> -- Competitive review of eligible projects; readiness to proceed is a critical factor in awarding funds.
Awarding of Funds	Award letters	Award offer	Notice of fund obligation	Upon Acceptance of a Financial Assistance Agreement by State	<u>Sect. 22</u> -- Notice of und obligation <u>Sect. 219</u> –Project Cooperation Agreement Signed.
Financial Closing	Agreement signed by applicant, Lt. Governor, Dept. of Administration, State Budget Agency and Attorney General	Award offer must be approved by applicant within 45 days; approved by Assistant Secretary of US DOC	Once all program requirements are met. Approved by Office of General Counsel	Once all program requirements are met, and approved by the SRF Loan Program.	Agreement signed by the applicant and the Corps

Notes: (1) Planning Grant Letter of Intent and application may be submitted on a monthly basis
(2) Based on availability of funds

<i>FINANCIAL ASSISTANCE</i>	Community Focus Fund and Planning Grant	US EDA – Public Works & Economic Adjustment	USDA Rural Development, Water & Wastewater	State Revolving Fund Loan Programs	Corps of Engineers – Planning & Assistance
Maximum Grant Available	\$500,000 for construction \$50,000 for planning	Basic grant + 50% of the total project cost Severely economically depressed areas may be eligible for 80% of the total project cost	75% of eligible costs when median household income is below poverty line or below 80% of State’s metropolitan median household income; 55% of eligible costs when median household income is below 100% of State’s non-metropolitan median household income	N/A	Sect. 22 -- \$500,000 per state is maximum potentially available amount. Not a grant or loan. Average per project \$25,000. Sect. 219 –This is not a grant or a loan.
Grant Match Required	Minimum of 10%	Between 20% and 50%	No required match (see above)	N/A	Sect. 22 -- 50% (can be all in-kind services) Sect. 219 – 25%
Loan Rates	N/A	N/A	Poverty Rate – 4.5% to meet health or sanitary standards and median household income is below poverty level Intermediate Rate – between 4.5% and market rate when median household income is less than 100% of State’s non-metropolitan household income Market Rate – for other participants	Please contact the SRF Program for more information. Reset quarterly, see www.srf.in.gov for current rates.	N/A
Maximum Loan Term	N/A	N/A	40 years	20 years	N/A
Loan Repayment	N/A	N/A	Bond or Mortgage note	Bond	N/A
Website	www.in.gov/ora	www.doc.gov/eda		www.srf.in.gov	
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Rural Community Assistance Program - Technical Assistance

Planning

- Assess community needs
- Assist in engineer and grant administrator selection and developing a work plan
- Identify community options and possible environmental and other impacts
- Assist with public hearings, formation of volunteer committees, and information gathering

Financing

- Identify financing options for the project
- Assist in developing a financial package, fiscal policy and fee structure
- Help the community develop applications and fulfill funding requirements
- Evaluate budgets and resources for existing utilities; work with staff to improve management

Construction

- Aid in developing contract documents, advertising for bids and holding pre-construction conferences
- Provide information on construction, administration and closing procedures

Operation and Maintenance

- Assess operation and maintenance problems
- Identify operation and maintenance assistance

Education

- Provide/develop educational materials and programming on the following topics:
 - Water quality issues
 - Environmental issues
 - Governmental regulations
 - Water, wastewater and solid waste
 - Community development

Since 1980, efforts by the RCAP program has resulted in over 1,000 improved systems in the Great Lakes area. If you are considering a new system or a system upgrade, give them a call!

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